LISTING OF CLAIMS

This listing of claims will replace all prior versions in the application:

1. (previously presented) A computer implemented method of determining the buying power of an investment portfolio for a given security, the method comprising the steps of:

    a) storing a set of compliance rules in a database, each of the compliance rules defining a limit on the amount of shares of the security that can be added to the investment portfolio based on predetermined criteria;

    b) calculating a transaction limit for a proposed transaction involving the security for each compliance rule in the set of compliance rules;

    c) sorting the set of compliance rules from most restrictive to least restrictive based on the calculated transaction limit for each compliance rule, wherein the most restrictive compliance rule has the lowest transaction limit and the least restrictive compliance rule has the highest transaction limit, and wherein the steps of calculating the transaction limit and sorting the set of compliance rules are performed by an analytical server;

    d) displaying a buying power message box on an output device, wherein the buying power message box displays the sorted set of compliance rules and the calculated transaction limit for each rule; and

    e) displaying a rule description box on the output device with the buying power message box, wherein the rule description box defines how the transaction limit was calculated.

2-5 (canceled)

6.   (previously presented) The method according to claim 1, further comprising using the
     analytical server to test each compliance rule against the proposed transaction using a
     nominal transaction value.

7.   (previously presented) A method according to claim 6, further comprising the step of
     using the analytical server to determine that the buying power of the portfolio for the
     proposed transaction is zero if the nominal transaction value for the proposed transaction
     violates a compliance rule.

8-21 (canceled)

22. (currently amended) A computer implemented method of determining the buying power
     of an investment portfolio comprising the steps of:

     a)   receiving a request to analyze a proposed transaction involving a security from
          a portfolio manager for a selected portfolio stored in a portfolio database;

     b)   retrieving the selected portfolio from the portfolio database;

     c)   accessing a set of compliance rules related to the selected portfolio from a rules
          database;

     d)   determining whether each compliance rule in the set of compliance rules
          related to the selected portfolio applies to the proposed transaction;

e)   calculating a transaction limit for the proposed transaction for each applicable

compliance rule in the set of compliance rules;

f)   sorting each applicable compliance rule from most restrictive to least restrictive

g)   displaying the sorted applicable compliance rules and the calculated transaction

limit for each rule;

h)   ~~specifying~~ calculating the buying power of the selected portfolio for the

proposed transaction, wherein the buying power is equal to the transaction

limit for the most restrictive of the applicable compliance rules; and

i)   displaying the name of the selected portfolio and its associated buying power

for the proposed transaction involving the security; and

j)   displaying a rule description defining how the transaction limit was calculated;

k)   wherein each of the above steps is performed using a computer.

23.   (original) A method according to claim 22, wherein the step of determining whether

each compliance rule in the set of compliance rules applies to the proposed transaction

includes testing each compliance rule against the proposed transaction using a nominal

transaction value.

24.   (original) A method according to claim 23, further comprising the step of determining

that the buying power of the selected portfolio for the proposed transaction is zero if the

nominal transaction value violates a compliance rule related to the selected portfolio.

25. (previously presented) A system for determining the buying power of an investment
portfolio comprising:

a) means for receiving a request to analyze a proposed transaction involving a
security from a portfolio manager for a selected portfolio stored in a portfolio
database;

b) means for retrieving the selected portfolio from the portfolio database;

c) means for accessing a set of compliance rules related to the selected portfolio
from a rules database;

d) means for determining whether each compliance rule in the set of compliance
rules related to the selected portfolio applies to the proposed transaction;

e) means for calculating a transaction limit for the proposed transaction for each
applicable compliance rule in the set of compliance rules;

f) means for sorting each applicable compliance rule from most restrictive to least
restrictive;

g) means for displaying the sorted applicable compliance rules;

h) means for specifying the buying power of the selected portfolio for the proposed
transaction, wherein the buying power is equal to the transaction limit for the
most restrictive of the applicable compliance rules;

i) means for displaying the name of the selected portfolio and its associated buying
power; and

j) means for displaying a rule description defining how the transaction limit was
calculated.

26-27   (canceled)

28.   (previously presented) A system for facilitating trade entry and portfolio management, the system comprising:

    a)   a user interface interacting with a control program, a data storage device, and a processor;

    b)   a financial security section of the user interface displaying the name of a security as well as data associated with the security;

    c)   a portfolios section of the user interface displaying data retrieved from the data storage device, the data including a selectable list of investment portfolios and a buying power limit for the security associated with each of the investment portfolios; and

    d)   a buying power module of the user interface displaying a list of compliance rules retrieved from the data storage device and a transaction limit calculated by the processor, the transaction limit being associated with each compliance rule, wherein the compliance rules and associated transaction limits are listed from lowest transaction limit to highest transaction limit and are applicable to a currently selected investment portfolio in the portfolios section of the user interface; and

    e)   a rule description section of the user interface displaying how the transaction limit was calculated.

29.   (canceled)

30. (canceled)

31. (canceled)

32. (previously presented) The method of claim 1, wherein the predetermined criteria include at least one of duration guidelines, asset allocation guidelines, credit ratings, and restricted security lists.